



**UNITED STATES DEPARTMENT OF COMMERCE**  
**National Oceanic and Atmospheric Administration**  
**NATIONAL MARINE FISHERIES SERVICE**  
**NORTHEAST REGION**  
One Blackburn Drive  
Gloucester, MA 01930-2298

May 12, 2001

Dear Federal Fisheries Dealer Applicant:

Enclosed you will find your Federal Fisheries **INITIAL DEALER APPLICATION** form. Please select the fisheries desired by placing an (x) in the appropriate box provided.

Please note that if you are operating as a corporation, you must submit a copy of the certificate of incorporation that lists the current officers of the corporation and their addresses as well as the stockholders owning 25 percent or more of the corporation, along with their addresses. If operating as a partnership, you must submit a copy of the partnership agreement with the names and addresses of all partners. Limited Liability Corporations must submit a copy of the organizational papers.

In cases where the regulated species are purchased or received for commercial purposes at more than one location, each address must be listed. List those additional addresses on the reverse side of the application form in Section 1A.

After completion, return the application to:

**National Marine Fisheries Service**  
**Permit Office**  
**One Blackburn Drive**  
**Gloucester, MA 01930-2298**

If you have any questions concerning this application, please call the Permit Office at 978-281-9370.

Sincerely,

*John H. Nagle*

John H. Nagle  
Supervisory Policy Analyst

Any information submitted by any person to obtain a permit is not confidential, and may be disclosed upon request.



## INSTRUCTIONS

### Initial Federal Fisheries Dealer Permit

- < **Section 1 - Dealer Information** Include the requested information on the lines provided. It is important to include your Southeast Dealer Permit Number in Section 1 if you have been issued a dealer permit by the Southeast Region of NMFS.
- < **Section 1A - Additional Dealer Information** You must provide the address of each place of business where you purchase or receive the regulated species for commercial purposes. Space is available on the back of the dealer permit form for the required listing of those additional addresses.
- < **Section 2 - Selected Fisheries** Place an “X” next to each of the fisheries for which you are requesting a Federal Fisheries Dealer Permit.
- < **Corporations and Partnerships** All dealer corporations must submit **once** a copy of the certificate of incorporation, showing officers and shareholders owning 25% or more of the shares of the corporation. In addition, **each year** the corporation must submit current information listing all current officers, along with their addresses, and shareholders owning 25% or more of the shares of the corporation, along with their addresses. If your business is a partnership, you must submit a copy of the partnership agreement **once**. In addition, **each year** the partnership must submit the names and addresses of all current partners. Failure to provide this information will delay processing of your dealer permit.
- < **Dealer Reports** An application is complete when all requested forms, information, and documentation have been received, and the applicant has submitted all applicable reports specified in § 648.7 and § 635.5 during the 12 months immediately preceding the application. All dealers must submit reports as specified in § 648.7 and § 635.5, with the exception of dealers holding only northeast Federal dealer permits for American lobster.

These dealer reports must contain all species, including, but not limited to, all northeast managed species, as well as all tunas, sharks and swordfish. Failure to submit the reports required under either § 648.7 or § 635.5 may bar issuance of any northeast dealer permit (except American lobster). In addition, failure to report in an accurate and timely fashion may result in enforcement action being taken. If you have any questions concerning your compliance with the reporting regulations, please contact your local Port Office.

- < **Section 3 - Applicant's Signature** Before mailing, carefully review the application form for accuracy and completeness. Sign and date the application in Section 3 and return it to the following address for prompt processing.

National Marine Fisheries Service/Permit Office  
One Blackburn Drive  
Gloucester, MA 01930-2298

U. S. DEPARTMENT OF COMMERCE  
NATIONAL OCEANIC & ATMOSPHERIC ADMINISTRATION  
NATIONAL MARINE FISHERIES SERVICE  
PERMIT OFFICE  
ONE BLACKBURN DRIVE  
GLOUCESTER, MA 01930-2298



INITIAL DEALER APPLICATION

Tel: (978) 281-9370

SECTION 1 - DEALER INFORMATION

Southeast Dealer # (if available) \_\_\_\_\_

Company name: \_\_\_\_\_

Owner's Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State : \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax Number: \_\_\_\_\_

\*\*Vessel Name: \_\_\_\_\_ \*\*Vessel Hull Number: \_\_\_\_\_

\*\*(must enter vessel name and hull number above if applying for Atlantic Mackerel at Sea Processor or Atlantic Herring Processor, if herring processing will be done aboard a vessel)

Where there are more than one place of business where the regulated species are purchased or received for commercial purposes, each address must be listed. List those additional addresses on the back of this form in Section 1A.

SECTION 2 - FISHERIES

Select the fisheries desired by placing an (X) in the boxes provided. Select all fisheries that apply.

☐ Atlantic Bluefin Tuna

☐ Northeast Multispecies

☐ Scup

☐ Other Atlantic Tunas \*

☐ American Lobster

☐ Black Sea Bass

\*(Yellowfin, Bigeye, Skipjack, Albacore)

☐ Squid, Mackerel, Butterfish

☐ Monkfish

☐ Surfclam/Ocean Quahog - Dealer

☐ Atlantic Mackerel at Sea Processor\*\*

☐ Atlantic Bluefish

☐ Surfclam/Ocean Quahog - Processor

☐ Atlantic Herring Processor\*\*

☐ Spiny Dogfish

☐ Summer Flounder

\*\* (see note in Section 1)

☐ Sea Scallop

☐ Atlantic Herring Dealer

SECTION 3 - OWNER'S SIGNATURE

I affirm, subject to the penalties provided in 18 USC 1001, that all information I have given in obtaining this permit is true and correct.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

5.12.01

OMB# 0648-0202 Expiration Date 3-31-2004

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, One Blackburn Drive, Gloucester, MA 01930-2298.

SECTION 1A - ADDITIONAL DEALER INFORMATION. If there is more than one place of business where the regulated species are purchased or received for commercial purposes, each address must be listed below.

COMPANY ADDRESS:

STREET: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

COMPANY TELEPHONE: \_\_\_\_\_

COMPANY ADDRESS:

STREET: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

COMPANY TELEPHONE: \_\_\_\_\_

COMPANY ADDRESS:

STREET: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

COMPANY TELEPHONE: \_\_\_\_\_

COMPANY ADDRESS:

STREET: \_\_\_\_\_

CITY: \_\_\_\_\_

STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

COMPANY TELEPHONE: \_\_\_\_\_

The information requested on this form is not confidential and will be available to the general public.

The Paperwork Reduction Act requires potential respondents for a dealer/processor permit be notified of certain information regarding their rights and the burden associated with applying for a Federal dealer/processor permit. One of the regulatory steps taken by the National Marine Fisheries Service (NMFS) to carry out conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to purchase, or otherwise receive for transport, species harvested by the owner or operator of a fishing vessel issued a Federal fisheries permit for these species. Section 303(b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance.

The purpose and use of permits is to: (1) register fish dealers and processor, (2) list the characteristics of dealer/processor operations, (3) exercise influence over compliance (e.g. withhold issuance pending collection of unpaid penalties), (4) provide a mailing list for the dissemination of important information to the industry, (5) provide a universe for data collection samples, and (6) obtain first purchase information on landings to evaluate the biological, economic and social implications of management measures.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.